

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 880952197</b>	Statement Date: 02/11/2022 Document ID: 1XNY 8V8 WCDH	2021
	Venkata pradeep Madhira 803 Mill Grove Dr Audubon, PA 19403  RECIPIENT'S TIN: XXX-XX-3917		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2021 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5, 2e)      17.40</p> <p>1b- Qualified dividends      13.01</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f)      4.11</p> <p>2b- Unrecaptured Section 1250 gain      4.11</p> <p>2c- Section 1202 gain      0.00</p> <p>2d- Collectibles (28%) gain      0.00</p> <p>2e- Section 897 ordinary dividends      0.00</p> <p>2f- Section 897 capital gain      0.00</p> <p>3- Nondividend distributions      39.06</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.99</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession: See detail      0.06</p> <p>7- Foreign tax paid:      0.06</p> <p>9- Cash liquidation distributions      0.00</p> <p>10- Noncash liquidation distributions      0.00</p> <p>11- Exempt-interest dividends (includes line 12)      0.00</p> <p>12- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INFORMATION</b>      <b>2021 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2021 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2021 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2020      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2021      0.00</p> <p>11- Aggregate profit or (loss) on contracts      0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p> <p><b>* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.</b></p>
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**SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING**

Refer to the 1099-B and Proceeds not reported to the IRS pages to ensure that you consider all relevant items and to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	66,664.66	52,437.45	0.00	894.34	15,121.55
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	1.40	4.56	0.00	0.00	-3.16
	<b>Total Short-term</b>	<b>66,666.06</b>	<b>52,442.01</b>	<b>0.00</b>	<b>894.34</b>	<b>15,118.39</b>
Long	D (basis reported to the IRS)	4,418.91	1,512.64	0.00	0.00	2,906.27
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>4,418.91</b>	<b>1,512.64</b>	<b>0.00</b>	<b>0.00</b>	<b>2,906.27</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>71,084.97</b>	<b>53,954.65</b>	<b>0.00</b>	<b>894.34</b>	<b>18,024.66</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

Changes to dividend tax classifications processed after your original tax form is issued for 2021 may require an amended tax form.

Robinhood Securities LLC

Account 880952197

**Summary Information**

2021

(continued)

02/11/2022

**INTEREST INCOME**

2021 1099-INT

OMB No. 1545-0112

**This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.**

1- Interest income (not included in line 3)	0.00
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	

*The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).*

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

**STATE TAX WITHHELD**

*Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.*

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

*Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).*

Original issue discount for the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

*The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).*

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	5.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

Robinhood Securities LLC

Account 880952197

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

02/11/2022

Sales transactions are organized into sections according to term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. The Box 12, basis is reported to the IRS indicator checkmark, is reflected as being checked in the title of the covered securities pages of Forms 1099-B, short-term and long-term. The title pages of the noncovered securities pages for Forms 1099-B reflect that Box 12 is not being checked, as these securities are not being reported to the IRS.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued market discount and wash sale loss disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used. The change in control condition is reported to the IRS for covered lots. Neither the disallowance of loss due to a corporate action nor the amount of gain or loss is reported to the IRS in any instance.

Some tax lots may have notations in the column of Additional Information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, lots noted as "3 - [X] Collectible" are handled distinctly under the tax code. These conditions are reported to the IRS. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios. With further regard to Box 3, there is also a checkmark to indicate the proceeds of sale are from a Qualified Opportunity Zone Fund investment - a QOF. If the proceeds are from a QOF the Additional Information column will reflect the following - "3 - [X] Proceeds from QOF." The tax treatment for QOF investments can be complex and you may wish to consult your tax advisor about such sales.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of the amount received when the option was written and the cost to close the position.

FATCA filing requirement [ ]

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAL 02/19/2021 CALL \$16.00 / CUSIP: / Symbol:							
01/27/21	1.000	219.98	01/26/21	91.00	...	128.98	Option sale to close-call <sup>25</sup>
AAL 02/19/2021 CALL \$17.00 / CUSIP: / Symbol:							
01/28/21	1.000	514.97	01/26/21	59.00	...	455.97	Option sale to close-call <sup>25</sup>
AAL 02/19/2021 CALL \$18.00 / CUSIP: / Symbol:							
01/28/21	1.000	434.98	01/26/21	38.00	...	396.98	Option sale to close-call <sup>25</sup>
AAL 02/19/2021 CALL \$20.00 / CUSIP: / Symbol:							
	2 transactions for 01/27/21. Total proceeds and cost reported to the IRS.						
	1.000	68.98	01/26/21	16.00	...	52.98	1 of 2 - Option sale to close-call <sup>25</sup>
	3.000	206.98	01/26/21	48.00	...	158.98	2 of 2 - Option sale to close-call <sup>25</sup>
01/27/21	4.000	275.96	Various	64.00	...	211.96	Total of 2 transactions

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**Proceeds from Broker and Barter Exchange Transactions**

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAL 11/19/2021 CALL \$17.00 / CUSIP: / Symbol:							
11/01/21	1.000	270.98	10/29/21	248.00	...	22.98	Option sale to close-call <sup>25</sup>
ADCT 04/16/2021 CALL \$40.00 / CUSIP: / Symbol:							
04/16/21	1.000	0.00	03/16/21	130.00	...	-130.00	Option expiration- long call
ADMA 05/21/2021 CALL \$3.00 / CUSIP: / Symbol:							
04/28/21	1.000	31.98	04/28/21	20.00	...	11.98	Option sale to close-call <sup>25</sup>
AGEN 05/21/2021 CALL \$5.00 / CUSIP: / Symbol:							
05/21/21	1.000	0.00	05/18/21	15.00	...	-15.00	Option expiration- long call
AGTC 03/19/2021 CALL \$10.00 / CUSIP: / Symbol:							
03/19/21	1.000	0.00	02/16/21	185.00	...	-185.00	Option expiration- long call
AGTC 05/21/2021 CALL \$5.00 / CUSIP: / Symbol:							
05/18/21	1.000	4.98	04/28/21	25.00	...	-20.02	Option sale to close-call <sup>25</sup>
AMC 06/18/2021 PUT \$3.00 / CUSIP: / Symbol:							
06/18/21	1.000	0.00	01/27/21	124.00	...	-124.00	Option expiration- long put
AMC 06/18/2021 PUT \$3.50 / CUSIP: / Symbol:							
<i>2 transactions for 06/18/21. Total proceeds and cost reported to the IRS.</i>							
	5.000	0.00	01/27/21	800.00	...	-800.00	1 of 2 - Option expiration- long put
	1.000	0.00	01/29/21	118.00	...	-118.00	2 of 2 - Option expiration- long put
06/18/21	6.000	0.00	Various	918.00	...	-918.00	Total of 2 transactions
AMD 05/07/2021 CALL \$84.50 / CUSIP: / Symbol:							
05/07/21	1.000	0.00	04/28/21	214.00	...	-214.00	Option expiration- long call
ASXC 10/15/2021 CALL \$4.50 / CUSIP: / Symbol:							
<i>6 transactions for 05/26/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	40.00	05/03/21	35.00	...	5.00	1 of 6 - Option sale to close-call <sup>25</sup>
	1.000	40.00	05/03/21	35.00	...	5.00	2 of 6 - Option sale to close-call <sup>25</sup>
	1.000	40.00	05/03/21	30.00	...	10.00	3 of 6 - Option sale to close-call <sup>25</sup>
	3.000	119.99	05/03/21	102.00	...	17.99	4 of 6 - Option sale to close-call <sup>25</sup>
	4.000	159.99	05/03/21	140.00	...	19.99	5 of 6 - Option sale to close-call <sup>25</sup>

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Account 880952197

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ASXC 10/15/2021 CALL \$4.50 / CUSIP: / Symbol: (cont'd)							
	5.000	199.98	05/03/21	175.00	...	24.98	6 of 6 - Option sale to close-call <sup>25</sup>
05/26/21	15.000	599.96	Various	517.00	...	82.96	Total of 6 transactions
	3 transactions for 05/26/21. Total proceeds and cost reported to the IRS.						
	1.000	40.00	03/12/21	199.00	159.00 W	0.00	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	40.00	03/25/21	125.00	85.00 W	0.00	2 of 3 - Option sale to close-call <sup>25</sup>
	3.000	119.99	04/22/21	120.00	0.01 W	0.00	3 of 3 - Option sale to close-call <sup>25</sup>
05/26/21	5.000	199.99	Various	444.00	244.01 W	0.00	Total of 3 transactions
	6 transactions for 06/04/21. Total proceeds and cost reported to the IRS.						
	1.000	55.00	05/03/21	194.00	...	-139.00	1 of 6 - Option sale to close-call <sup>25</sup>
	1.000	55.00	05/03/21	120.00	...	-65.00	2 of 6 - Option sale to close-call <sup>25</sup>
	1.000	55.00	05/03/21	35.00	...	20.00	3 of 6 - Option sale to close-call <sup>25</sup>
	2.000	109.99	05/03/21	70.01	...	39.98	4 of 6 - Option sale to close-call <sup>25</sup>
	2.000	109.99	05/03/21	60.00	...	49.99	5 of 6 - Option sale to close-call <sup>25</sup>
	7.000	419.98	05/03/21	210.00	...	209.98	6 of 6 - Option sale to close-call <sup>25</sup>
06/04/21	14.000	804.96	Various	689.01	...	115.95	Total of 6 transactions
	<b>Security total:</b>	<b>1,604.91</b>		<b>1,650.01</b>	<b>244.01 W</b>	<b>198.91</b>	
ATNX 04/16/2021 CALL \$10.00 / CUSIP: / Symbol:							
04/16/21	1.000	0.00	03/01/21	40.00	...	-40.00	Option expiration- long call
ATOS 02/19/2021 CALL \$4.00 / CUSIP: / Symbol:							
02/04/21	1.000	144.98	01/26/21	80.00	...	64.98	Option sale to close-call <sup>25</sup>
BABA 06/11/2021 CALL \$220.00 / CUSIP: / Symbol:							
	3 transactions for 06/11/21. Total proceeds and cost reported to the IRS.						
	1.000	0.00	06/04/21	240.00	...	-240.00	1 of 3 - Option expiration- long call
	1.000	0.00	06/08/21	106.00	...	-106.00	2 of 3 - Option expiration- long call
	1.000	0.00	06/08/21	106.00	...	-106.00	3 of 3 - Option expiration- long call
06/11/21	3.000	0.00	Various	452.00	...	-452.00	Total of 3 transactions
BB 01/29/2021 CALL \$22.00 / CUSIP: / Symbol:							
01/25/21	1.000	166.98	01/25/21	455.00	...	-288.02	Option sale to close-call <sup>25</sup>
BBBY 01/29/2021 CALL \$36.00 / CUSIP: / Symbol:							
01/26/21	1.000	326.98	01/26/21	239.00	...	87.98	Option sale to close-call <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BBBY 02/19/2021 CALL \$32.00 / CUSIP: / Symbol:							
2 transactions for 01/25/21. Total proceeds and cost reported to the IRS.							
	1.000	949.96	01/22/21	227.00	...	722.96	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	1,619.95	01/22/21	227.00	...	1,392.95	2 of 2 - Option sale to close-call <sup>25</sup>
01/25/21	2.000	2,569.91	Various	454.00	...	2,115.91	Total of 2 transactions
BBBY 02/26/2021 CALL \$40.00 / CUSIP: / Symbol:							
01/25/21	1.000	1,259.96	01/22/21	98.00	...	1,161.96	Option sale to close-call <sup>25</sup>
BBBY 03/19/2021 CALL \$38.00 / CUSIP: / Symbol:							
01/25/21	1.000	1,399.95	01/22/21	171.00	...	1,228.95	Option sale to close-call <sup>25</sup>
BBBY 05/28/2021 CALL \$27.50 / CUSIP: / Symbol:							
05/28/21	1.000	53.98	05/27/21	56.00	...	-2.02	Option sale to close-call <sup>25</sup>
CCL 02/19/2021 CALL \$25.00 / CUSIP: / Symbol:							
2 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	1.000	47.98	01/25/21	24.00	...	23.98	1 of 2 - Option sale to close-call <sup>25</sup>
	3.000	143.98	01/25/21	72.00	...	71.98	2 of 2 - Option sale to close-call <sup>25</sup>
01/27/21	4.000	191.96	Various	96.00	...	95.96	Total of 2 transactions
CCL 03/19/2021 CALL \$25.00 / CUSIP: / Symbol:							
2 transactions for 02/17/21. Total proceeds and cost reported to the IRS.							
	1.000	141.98	01/29/21	86.00	...	55.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	144.98	01/29/21	86.00	...	58.98	2 of 2 - Option sale to close-call <sup>25</sup>
02/17/21	2.000	286.96	Various	172.00	...	114.96	Total of 2 transactions
CDXC 03/19/2021 PUT \$5.00 / CUSIP: / Symbol:							
02/26/21	1.000	9.98	02/25/21	15.00	...	-5.02	Option sale to close-put <sup>25</sup>
CDXC 03/19/2021 PUT \$7.50 / CUSIP: / Symbol:							
02/23/21	1.000	39.98	02/23/21	60.00	...	-20.02	Option sale to close-put <sup>25</sup>
CGEN 02/19/2021 CALL \$15.00 / CUSIP: / Symbol:							
02/08/21	3.000	119.98	02/04/21	90.00	...	29.98	Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 880952197

**Proceeds from Broker and Barter Exchange Transactions**

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CLOV 05/21/2021 CALL \$10.00 / CUSIP: / Symbol:							
04/29/21	1.000	215.98	04/19/21	180.00	...	35.98	Option sale to close-call <sup>25</sup>
CLVS 03/26/2021 CALL \$10.00 / CUSIP: / Symbol:							
03/19/21	1.000	93.98	03/19/21	76.00	...	17.98	Option sale to close-call <sup>25</sup>
CNST 06/18/2021 CALL \$35.00 / CUSIP: / Symbol:							
06/02/21	1.000	24.98	06/02/21	15.00	...	9.98	Option sale to close-call <sup>25</sup>
DIS 03/19/2021 CALL \$190.00 / CUSIP: / Symbol:							
01/29/21	1.000	329.98	01/25/21	310.00	...	19.98	Option sale to close-call <sup>25</sup>
DOCU 06/11/2021 PUT \$225.00 / CUSIP: / Symbol:							
<i>4 transactions for 06/11/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	0.00	06/04/21	256.00	...	-256.00	1 of 4 - Option expiration- long put
	1.000	0.00	06/07/21	75.00	...	-75.00	2 of 4 - Option expiration- long put
	1.000	0.00	06/07/21	75.00	...	-75.00	3 of 4 - Option expiration- long put
	3.000	0.00	06/08/21	90.00	...	-90.00	4 of 4 - Option expiration- long put
06/11/21	6.000	0.00	Various	496.00	...	-496.00	Total of 4 transactions
DOCU 06/18/2021 PUT \$225.00 / CUSIP: / Symbol:							
06/10/21	1.000	124.98	06/08/21	82.00	...	42.98	Option sale to close-put <sup>25</sup>
DRRX 04/16/2021 CALL \$5.00 / CUSIP: / Symbol:							
04/16/21	5.000	0.00	02/17/21	105.00	...	-105.00	Option expiration- long call
EBON 03/19/2021 PUT \$5.00 / CUSIP: / Symbol:							
02/23/21	1.000	69.98	02/23/21	65.00	...	4.98	Option sale to close-put <sup>25</sup>
EDU 06/18/2021 CALL \$12.50 / CUSIP: / Symbol:							
05/26/21	1.000	30.98	05/25/21	25.00	...	5.98	Option sale to close-call <sup>25</sup>
FE 02/19/2021 CALL \$34.00 / CUSIP: / Symbol:							
<i>2 transactions for 02/08/21. Total proceeds and cost reported to the IRS.</i>							
	5.000	99.98	02/01/21	110.02	...	-10.04	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	20.00	02/01/21	15.00	...	5.00	2 of 2 - Option sale to close-call <sup>25</sup>
02/08/21	6.000	119.98	Various	125.02	...	-5.04	Total of 2 transactions

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Robinhood Securities LLC

Account 880952197

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
FE 02/19/2021 CALL \$34.00 / CUSIP: / Symbol: (cont'd)							
02/08/21	5.000	99.98	01/27/21	135.00	35.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>219.96</b>		<b>260.02</b>	<b>35.02 W</b>	<b>-5.04</b>	
FLY 04/16/2021 CALL \$17.50 / CUSIP: / Symbol:							
04/16/21	1.000	0.00	03/29/21	15.00	...	-15.00	Option expiration- long call
FOLD 03/19/2021 PUT \$15.00 / CUSIP: / Symbol:							
02/12/21	1.000	309.98	02/12/21	310.00	...	-0.02	Option sale to close-put <sup>25</sup>
FPRX 03/19/2021 PUT \$30.00 / CUSIP: / Symbol:							
03/19/21	1.000	0.00	03/05/21	20.00	...	-20.00	Option expiration- long put
FREQ 04/16/2021 CALL \$15.00 / CUSIP: / Symbol:							
03/24/21	1.000	49.98	03/23/21	37.00	...	12.98	Option sale to close-call <sup>25</sup>
FRX 03/19/2021 CALL \$20.00 / CUSIP: / Symbol:							
02/19/21	1.000	190.98	02/19/21	179.00	...	11.98	Option sale to close-call <sup>25</sup>
FUV 02/19/2021 CALL \$22.50 / CUSIP: / Symbol:							
01/26/21	1.000	349.98	01/25/21	290.00	...	59.98	Option sale to close-call <sup>25</sup>
GALT 05/21/2021 CALL \$6.00 / CUSIP: / Symbol:							
05/21/21	1.000	0.00	04/29/21	90.00	...	-90.00	Option expiration- long call
GE 01/29/2021 CALL \$11.00 / CUSIP: / Symbol:							
01/26/21	1.000	95.98	01/25/21	43.00	...	52.98	Option sale to close-call <sup>25</sup>
GE 01/29/2021 CALL \$11.50 / CUSIP: / Symbol:							
01/26/21	1.000	55.98	01/25/21	23.00	...	32.98	Option sale to close-call <sup>25</sup>
GE 03/26/2021 CALL \$12.50 / CUSIP: / Symbol:							
	2 transactions for 02/23/21. Total proceeds and cost reported to the IRS.						
	1.000	57.98	02/16/21	38.00	...	19.98	1 of 2 - Option sale to close-call <sup>25</sup>
	4.000	231.98	02/16/21	152.00	...	79.98	2 of 2 - Option sale to close-call <sup>25</sup>
02/23/21	5.000	289.96	Various	190.00	...	99.96	Total of 2 transactions

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Robinhood Securities LLC

Account 880952197

**Proceeds from Broker and Barter Exchange Transactions**

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
GE 04/30/2021 CALL \$14.00 / CUSIP: / Symbol:							
04/30/21	1.000	0.00	03/15/21	54.00	...	-54.00	Option expiration- long call
GM 02/19/2021 CALL \$60.00 / CUSIP: / Symbol:							
3 transactions for 02/03/21. Total proceeds and cost reported to the IRS.							
	1.000	101.98	01/28/21	101.00	...	0.98	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	101.98	01/28/21	101.00	...	0.98	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	101.98	01/28/21	98.00	...	3.98	3 of 3 - Option sale to close-call <sup>25</sup>
02/03/21	3.000	305.94	Various	300.00	...	5.94	Total of 3 transactions
GM 03/19/2021 CALL \$60.00 / CUSIP: / Symbol:							
4 transactions for 02/24/21. Total proceeds and cost reported to the IRS.							
	1.000	59.99	02/19/21	49.00	...	10.99	1 of 4 - Option sale to close-call <sup>25</sup>
	1.000	59.99	02/19/21	49.00	...	10.99	2 of 4 - Option sale to close-call <sup>25</sup>
	1.000	60.00	02/19/21	49.00	...	11.00	3 of 4 - Option sale to close-call <sup>25</sup>
	2.000	119.99	02/23/21	54.00	...	65.99	4 of 4 - Option sale to close-call <sup>25</sup>
02/24/21	5.000	299.97	Various	201.00	...	98.97	Total of 4 transactions
4 transactions for 02/24/21. Total proceeds and cost reported to the IRS.							
	1.000	60.00	01/28/21	200.00	140.00 W	0.00	1 of 4 - Option sale to close-call <sup>25</sup>
	1.000	60.00	02/17/21	81.00	21.00 W	0.00	2 of 4 - Option sale to close-call <sup>25</sup>
	1.000	60.00	02/17/21	81.00	21.00 W	0.00	3 of 4 - Option sale to close-call <sup>25</sup>
	2.000	119.99	02/18/21	124.00	4.01 W	0.00	4 of 4 - Option sale to close-call <sup>25</sup>
02/24/21	5.000	299.99	Various	486.00	186.01 W	0.00	Total of 4 transactions
6 transactions for 03/02/21. Total proceeds and cost reported to the IRS.							
	1.000	51.00	02/23/21	141.02	...	-90.02	1 of 6 - Option sale to close-call <sup>25</sup>
	1.000	50.98	02/23/21	48.00	...	2.98	2 of 6 - Option sale to close-call <sup>25</sup>
	1.000	50.98	02/23/21	48.00	...	2.98	3 of 6 - Option sale to close-call <sup>25</sup>
	1.000	51.00	02/23/21	27.01	...	23.99	4 of 6 - Option sale to close-call <sup>25</sup>
	1.000	50.99	02/23/21	27.00	...	23.99	5 of 6 - Option sale to close-call <sup>25</sup>
	2.000	101.99	02/26/21	50.00	...	51.99	6 of 6 - Option sale to close-call <sup>25</sup>
03/02/21	7.000	356.94	Various	341.03	...	15.91	Total of 6 transactions
03/02/21	1.000	50.98	02/23/21	167.00	116.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>1,007.88</b>		<b>1,195.03</b>	<b>302.03 W</b>	<b>114.88</b>	

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Robinhood Securities LLC

Account 880952197

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
GNUS 06/25/2021 CALL \$2.50 / CUSIP: / Symbol:							
2 transactions for 05/28/21. Total proceeds and cost reported to the IRS.							
	5.000	29.99	05/27/21	20.00	...	9.99	1 of 2 - Option sale to close-call <sup>25</sup>
	5.000	29.98	05/27/21	15.00	...	14.98	2 of 2 - Option sale to close-call <sup>25</sup>
05/28/21	10.000	59.97	Various	35.00	...	24.97	Total of 2 transactions
GPRO 03/26/2021 CALL \$13.50 / CUSIP: / Symbol:							
03/26/21	1.000	0.00	03/16/21	82.00	...	-82.00	Option expiration- long call
GSAT 03/19/2021 PUT \$1.00 / CUSIP: / Symbol:							
03/05/21	1.000	5.98	02/23/21	10.00	...	-4.02	Option sale to close-put <sup>25</sup>
HGEN 04/16/2021 CALL \$25.00 / CUSIP: / Symbol:							
03/29/21	1.000	369.98	03/29/21	320.00	...	49.98	Option sale to close-call <sup>25</sup>
HYLN 01/29/2021 CALL \$18.00 / CUSIP: / Symbol:							
01/25/21	1.000	40.98	01/21/21	101.00	...	-60.02	Option sale to close-call <sup>25</sup>
HYMC 04/16/2021 CALL \$7.50 / CUSIP: / Symbol:							
04/16/21	5.000	0.00	03/24/21	35.00	...	-35.00	Option expiration- long call
IBM 03/19/2021 CALL \$130.00 / CUSIP: / Symbol:							
01/29/21	1.000	151.98	01/25/21	108.00	...	43.98	Option sale to close-call <sup>25</sup>
IDEX 03/19/2021 CALL \$6.00 / CUSIP: / Symbol:							
03/19/21	1.000	0.00	02/19/21	37.00	...	-37.00	Option expiration- long call
IVR 02/19/2021 CALL \$4.50 / CUSIP: / Symbol:							
2 transactions for 01/29/21. Total proceeds and cost reported to the IRS.							
	4.000	59.98	01/26/21	144.00	...	-84.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	15.98	01/26/21	36.00	...	-20.02	2 of 2 - Option sale to close-call <sup>25</sup>
01/29/21	5.000	75.96	Various	180.00	...	-104.04	Total of 2 transactions
KNDI 02/19/2021 CALL \$10.00 / CUSIP: / Symbol:							
01/29/21	1.000	132.98	01/26/21	111.00	...	21.98	Option sale to close-call <sup>25</sup>
LAZR 03/26/2021 CALL \$31.00 / CUSIP: / Symbol:							
03/22/21	1.000	149.98	03/19/21	130.00	...	19.98	Option sale to close-call <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

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LCID 12/17/2021 CALL \$40.00 / CUSIP: / Symbol:							
11/05/21	1.000	639.98	11/01/21	410.00	...	229.98	Option sale to close-call <sup>25</sup>
LLNW 06/18/2021 CALL \$5.00 / CUSIP: / Symbol:							
06/18/21	2.000	0.00	02/12/21	92.00	...	-92.00	Option expiration- long call
LODE 03/19/2021 CALL \$6.00 / CUSIP: / Symbol:							
02/17/21	1.000	349.98	02/17/21	390.00	...	-40.02	Option sale to close-call <sup>25</sup>
LODE 03/19/2021 PUT \$5.00 / CUSIP: / Symbol:							
02/18/21	1.000	173.98	02/18/21	180.00	...	-6.02	Option sale to close-put <sup>25</sup>
LQDT 05/21/2021 CALL \$30.00 / CUSIP: / Symbol:							
05/07/21	1.000	54.98	05/06/21	70.00	...	-15.02	Option sale to close-call <sup>25</sup>
LUMN 02/05/2021 CALL \$14.50 / CUSIP: / Symbol:							
01/27/21	5.000	1,239.96	01/26/21	930.00	...	309.96	Option sale to close-call <sup>25</sup>
LUMN 03/19/2021 CALL \$12.50 / CUSIP: / Symbol:							
2 transactions for 01/26/21. Total proceeds and cost reported to the IRS.							
	3.000	638.97	01/26/21	381.00	...	257.97	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	575.97	01/26/21	254.00	...	321.97	2 of 2 - Option sale to close-call <sup>25</sup>
01/26/21	5.000	1,214.94	Various	635.00	...	579.94	Total of 2 transactions
MG 03/19/2021 CALL \$12.50 / CUSIP: / Symbol:							
03/17/21	1.000	39.98	03/17/21	30.00	...	9.98	Option sale to close-call <sup>25</sup>
MGI 03/19/2021 PUT \$6.00 / CUSIP: / Symbol:							
02/23/21	1.000	40.98	02/23/21	35.00	...	5.98	Option sale to close-put <sup>25</sup>
MOGO 03/19/2021 CALL \$10.00 / CUSIP: / Symbol:							
03/12/21	1.000	65.98	03/11/21	50.00	...	15.98	Option sale to close-call <sup>25</sup>
MOGO 04/16/2021 CALL \$12.50 / CUSIP: / Symbol:							
03/19/21	1.000	191.98	03/19/21	190.00	...	1.98	Option sale to close-call <sup>25</sup>
MS 11/26/2021 CALL \$104.00 / CUSIP: / Symbol:							
11/02/21	1.000	319.98	11/01/21	236.00	...	83.98	Option sale to close-call <sup>25</sup>

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Account 880952197

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

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MU 02/19/2021 CALL \$87.00 / CUSIP: / Symbol:							
02/08/21	2.000	149.98	02/03/21	132.00	...	17.98	Option sale to close-call <sup>25</sup>
MVIS 03/19/2021 CALL \$30.00 / CUSIP: / Symbol:							
02/11/21	1.000	429.98	02/11/21	318.00	...	111.98	Option sale to close-call <sup>25</sup>
MVIS 04/16/2021 PUT \$14.00 / CUSIP: / Symbol:							
04/06/21	1.000	114.98	04/01/21	125.00	...	-10.02	Option sale to close-put <sup>25</sup>
MVIS 05/21/2021 PUT \$10.00 / CUSIP: / Symbol:							
05/05/21	1.000	39.98	04/30/21	50.00	...	-10.02	Option sale to close-put <sup>25</sup>
NFE 03/19/2021 CALL \$55.00 / CUSIP: / Symbol:							
03/16/21	1.000	219.98	03/16/21	190.00	...	29.98	Option sale to close-call <sup>25</sup>
NIO 01/29/2021 CALL \$70.00 / CUSIP: / Symbol:							
01/26/21	1.000	18.98	01/25/21	67.00	...	-48.02	Option sale to close-call <sup>25</sup>
NIO 03/26/2021 CALL \$60.00 / CUSIP: / Symbol:							
	2 transactions for 03/26/21. Total proceeds and cost reported to the IRS.						
	1.000	0.00	02/19/21	550.00	...	-550.00	1 of 2 - Option expiration- long call
	1.000	0.00	02/26/21	182.00	...	-182.00	2 of 2 - Option expiration- long call
03/26/21	2.000	0.00	Various	732.00	...	-732.00	Total of 2 transactions
NKLA 02/19/2021 CALL \$20.00 / CUSIP: / Symbol:							
01/26/21	1.000	334.98	01/21/21	196.00	...	138.98	Option sale to close-call <sup>25</sup>
NNDM 04/16/2021 CALL \$12.50 / CUSIP: / Symbol:							
04/16/21	1.000	0.00	03/16/21	93.00	...	-93.00	Option expiration- long call
NOK 01/21/2022 CALL \$5.00 / CUSIP: / Symbol:							
	3 transactions for 07/13/21. Total proceeds and cost reported to the IRS.						
	2.000	237.99	01/25/21	276.00	...	-38.01	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	117.98	03/12/21	59.00	...	58.98	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	118.99	03/12/21	59.00	...	59.99	3 of 3 - Option sale to close-call <sup>25</sup>
07/13/21	4.000	474.96	Various	394.00	...	80.96	Total of 3 transactions

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Account 880952197

**Proceeds from Broker and Barter Exchange Transactions**

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NOK 01/29/2021 CALL \$5.00 / CUSIP: / Symbol:							
01/26/21	1.000	54.98	01/25/21	49.00	...	5.98	Option sale to close-call <sup>25</sup>
NOK 02/19/2021 CALL \$5.00 / CUSIP: / Symbol:							
<i>4 transactions for 01/27/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	132.98	01/25/21	77.00	...	55.98	1 of 4 - Option sale to close-call <sup>25</sup>
	1.000	132.99	01/25/21	77.00	...	55.99	2 of 4 - Option sale to close-call <sup>25</sup>
	2.000	265.99	01/25/21	154.00	...	111.99	3 of 4 - Option sale to close-call <sup>25</sup>
	2.000	265.99	01/26/21	128.00	...	137.99	4 of 4 - Option sale to close-call <sup>25</sup>
01/27/21	6.000	797.95	Various	436.00	...	361.95	Total of 4 transactions
NOK 03/19/2021 CALL \$5.00 / CUSIP: / Symbol:							
03/19/21	1.000	0.00	01/25/21	85.00	...	-85.00	Option expiration- long call
OCGN 05/21/2021 CALL \$17.50 / CUSIP: / Symbol:							
05/03/21	1.000	256.98	05/03/21	222.00	...	34.98	Option sale to close-call <sup>25</sup>
OGI 03/19/2021 CALL \$5.00 / CUSIP: / Symbol:							
02/10/21	1.000	229.98	02/09/21	115.00	...	114.98	Option sale to close-call <sup>25</sup>
PBR 03/05/2021 PUT \$8.00 / CUSIP: / Symbol:							
02/26/21	1.000	30.98	02/23/21	37.00	...	-6.02	Option sale to close-put <sup>25</sup>
PING 03/19/2021 CALL \$30.00 / CUSIP: / Symbol:							
03/19/21	1.000	0.00	02/25/21	45.00	...	-45.00	Option expiration- long call
PING 04/16/2021 CALL \$35.00 / CUSIP: / Symbol:							
04/16/21	1.000	0.00	02/25/21	22.00	...	-22.00	Option expiration- long call
PINS 06/18/2021 CALL \$115.00 / CUSIP: / Symbol:							
<i>2 transactions for 06/18/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	0.00	03/12/21	174.00	...	-174.00	1 of 2 - Option expiration- long call
	5.000	0.00	05/03/21	30.00	...	-30.00	2 of 2 - Option expiration- long call
06/18/21	6.000	0.00	Various	204.00	...	-204.00	Total of 2 transactions
PLTR 03/19/2021 CALL \$31.00 / CUSIP: / Symbol:							
03/19/21	1.000	0.00	02/19/21	320.00	...	-320.00	Option expiration- long call

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Robinhood Securities LLC

Account 880952197

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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PLUG 02/19/2021 CALL \$90.00 / CUSIP: / Symbol: 01/29/21	1.000	220.98	01/26/21	455.00	...	-234.02	Option sale to close-call <sup>25</sup>
PRQR 04/16/2021 CALL \$10.00 / CUSIP: / Symbol: 03/25/21	1.000	139.98	03/25/21	120.00	...	19.98	Option sale to close-call <sup>25</sup>
PRQR 04/16/2021 PUT \$7.50 / CUSIP: / Symbol: 03/31/21	1.000	119.98	03/26/21	120.00	...	-0.02	Option sale to close-put <sup>25</sup>
PSAC 03/19/2021 CALL \$20.00 / CUSIP: / Symbol: 03/19/21	1.000	0.00	02/17/21	185.00	...	-185.00	Option expiration- long call
RAAS 04/16/2021 CALL \$17.50 / CUSIP: / Symbol: 04/16/21	1.000	0.00	03/30/21	60.00	...	-60.00	Option expiration- long call
RIDE 04/30/2021 CALL \$20.00 / CUSIP: / Symbol: 04/30/21	1.000	0.00	03/18/21	85.00	...	-85.00	Option expiration- long call
RLX 04/16/2021 CALL \$15.00 / CUSIP: / Symbol: 04/16/21	2.000	0.00	03/22/21	202.00	...	-202.00	Option expiration- long call
RUBY 03/19/2021 CALL \$12.50 / CUSIP: / Symbol: 02/26/21	1.000	174.98	02/26/21	120.00	...	54.98	Option sale to close-call <sup>25</sup>
RUBY 04/16/2021 PUT \$5.00 / CUSIP: / Symbol: 04/16/21	5.000	0.00	03/15/21	50.00	...	-50.00	Option expiration- long put
SENS 03/19/2021 CALL \$3.50 / CUSIP: / Symbol: 02/08/21	1.000	109.98	02/05/21	90.00	...	19.98	Option sale to close-call <sup>25</sup>
SKLZ 06/11/2021 CALL \$20.00 / CUSIP: / Symbol: 06/02/21	1.000	90.98	06/02/21	70.00	...	20.98	Option sale to close-call <sup>25</sup>
SLDB 04/16/2021 CALL \$7.50 / CUSIP: / Symbol: 04/16/21	1.000	0.00	03/16/21	105.00	...	-105.00	Option expiration- long call
SM 03/19/2021 PUT \$10.00 / CUSIP: / Symbol: 02/23/21	1.000	34.98	02/23/21	50.00	...	-15.02	Option sale to close-put <sup>25</sup>

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Account 880952197

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SNDL 02/19/2021 CALL \$5.00 / CUSIP: / Symbol:							
02/19/21	1.000	0.00	02/11/21	130.00	...	-130.00	Option expiration- long call
SNDL 02/26/2021 PUT \$2.00 / CUSIP: / Symbol:							
2 transactions for 02/16/21. Total proceeds and cost reported to the IRS.							
	1.000	34.98	02/12/21	75.00	...	-40.02	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	44.98	02/12/21	75.00	...	-30.02	2 of 2 - Option sale to close-put <sup>25</sup>
02/16/21	2.000	79.96	Various	150.00	...	-70.04	Total of 2 transactions
SNPR 06/18/2021 CALL \$12.50 / CUSIP: / Symbol:							
2 transactions for 06/18/21. Total proceeds and cost reported to the IRS.							
	1.000	0.00	04/28/21	10.00	...	-10.00	1 of 2 - Option expiration- long call
	1.000	0.00	04/28/21	10.00	...	-10.00	2 of 2 - Option expiration- long call
06/18/21	2.000	0.00	Various	20.00	...	-20.00	Total of 2 transactions
STON 04/16/2021 CALL \$5.00 / CUSIP: / Symbol:							
03/22/21	1.000	189.98	03/22/21	190.00	...	-0.02	Option sale to close-call <sup>25</sup>
T 07/16/2021 CALL \$30.00 / CUSIP: / Symbol:							
07/16/21	2.000	0.00	06/09/21	58.00	...	-58.00	Option expiration- long call
THCX 02/19/2021 PUT \$19.00 / CUSIP: / Symbol:							
02/19/21	2.000	0.00	02/11/21	90.00	...	-90.00	Option expiration- long put
TKC 04/16/2021 CALL \$5.00 / CUSIP: / Symbol:							
03/24/21	1.000	22.98	03/22/21	20.00	...	2.98	Option sale to close-call <sup>25</sup>
TMUS 12/17/2021 CALL \$130.00 / CUSIP: / Symbol:							
2 transactions for 12/17/21. Total proceeds and cost reported to the IRS.							
	5.000	0.00	11/05/21	850.00	...	-850.00	1 of 2 - Option expiration- long call
	1.000	0.00	11/05/21	163.00	...	-163.00	2 of 2 - Option expiration- long call
12/17/21	6.000	0.00	Various	1,013.00	...	-1,013.00	Total of 2 transactions
TRVG 03/19/2021 PUT \$2.50 / CUSIP: / Symbol:							
02/24/21	1.000	4.98	02/23/21	17.00	...	-12.02	Option sale to close-put <sup>25</sup>

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Account 880952197

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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TWTR 06/11/2021 CALL \$60.00 / CUSIP: / Symbol:							
06/04/21	1.000	75.98	06/03/21	96.00	...	-20.02	Option sale to close-call <sup>25</sup>
UAL 12/10/2021 CALL \$50.00 / CUSIP: / Symbol:							
11/05/21	1.000	374.98	10/29/21	106.00	...	268.98	Option sale to close-call <sup>25</sup>
VIH 02/19/2021 CALL \$17.50 / CUSIP: / Symbol:							
02/08/21	1.000	164.98	01/25/21	130.00	...	34.98	Option sale to close-call <sup>25</sup>
WATT 03/19/2021 PUT \$3.50 / CUSIP: / Symbol:							
02/26/21	1.000	19.98	02/22/21	34.00	...	-14.02	Option sale to close-put <sup>25</sup>
WKHS 01/29/2021 CALL \$33.00 / CUSIP: / Symbol:							
01/26/21	1.000	255.98	01/26/21	201.00	...	54.98	Option sale to close-call <sup>25</sup>
WKHS 03/19/2021 CALL \$20.00 / CUSIP: / Symbol:							
02/26/21	1.000	262.98	02/25/21	172.00	...	90.98	Option sale to close-call <sup>25</sup>
03/19/21	1.000	0.00	02/26/21	177.00	...	-177.00	Option expiration- long call
	<b>Security total:</b>	<b>262.98</b>		<b>349.00</b>	...	<b>-86.02</b>	
XM 05/21/2021 CALL \$45.00 / CUSIP: / Symbol:							
04/28/21	1.000	119.98	04/27/21	97.00	...	22.98	Option sale to close-call <sup>25</sup>
05/21/21	1.000	0.00	04/28/21	100.00	...	-100.00	Option expiration- long call
	<b>Security total:</b>	<b>119.98</b>		<b>197.00</b>	...	<b>-77.02</b>	
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
4 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	5.000	82.50	12/23/20	13.04	...	69.46	1 of 4 - Sale <sup>25</sup>
	50.000	842.60	12/23/20	130.44	...	712.16	2 of 4 - Sale <sup>25</sup>
	95.000	1,567.45	12/23/20	247.84	...	1,319.61	3 of 4 - Sale <sup>25</sup>
	50.000	842.60	01/05/21	100.50	...	742.10	4 of 4 - Sale <sup>25</sup>
01/27/21	200.000	3,335.15	Various	491.82	...	2,843.33	Total of 4 transactions
AENZA S.A.A. / CUSIP: 00776D103 / Symbol:							
4 transactions for 07/16/21. Total proceeds and cost reported to the IRS.							
	100.000	181.09	04/22/21	278.00	...	-96.91	1 of 4 - Sale <sup>25</sup>
	100.000	181.08	04/29/21	163.90	...	17.18	2 of 4 - Sale <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

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AENZA S.A.A. / CUSIP: 00776D103 / Symbol: (cont'd)							
	100.000	181.09	04/29/21	163.90	...	17.19	3 of 4 - Sale <sup>25</sup>
	250.000	452.71	05/07/21	381.85	...	70.86	4 of 4 - Sale <sup>25</sup>
07/16/21	550.000	995.97	Various	987.65	...	8.32	Total of 4 transactions
ALLIED ESPORTS ENTERTAINMENT, INC. COMMON STOCK / CUSIP: 019170109 / Symbol:							
03/05/21	23.000	53.59	12/23/20	34.73	...	18.86	Sale <sup>25</sup>
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
07/14/21	10.000	1,493.52	05/13/21	1,250.97	...	242.55	Sale <sup>25</sup>
APTOSE BIOSCIENCES, INC. COMMO N SHARES / CUSIP: 03835T200 / Symbol:							
03/24/21	21.000	125.27	12/07/20	96.08	...	29.19	Sale <sup>25</sup>
ASHFORD HOSPITALITY TRUST, INC. / CUSIP: 044103877 / Symbol:							
06/02/21	1.000	5.33	06/02/21	5.38	...	-0.05	Sale <sup>25</sup>
ATOSSA THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 04962H506 / Symbol:							
01/19/21	220.000	302.47	01/13/21	239.60	...	62.87	Sale <sup>25</sup>
	4 transactions for 01/22/21. Total proceeds and cost reported to the IRS.						
	23.000	41.98	01/13/21	25.05	...	16.93	1 of 4 - Sale <sup>25</sup>
	30.000	54.75	01/13/21	32.67	...	22.08	2 of 4 - Sale <sup>25</sup>
	47.000	85.78	01/13/21	51.19	...	34.59	3 of 4 - Sale <sup>25</sup>
	120.000	218.99	01/13/21	130.69	...	88.30	4 of 4 - Sale <sup>25</sup>
01/22/21	220.000	401.50	Various	239.60	...	161.90	Total of 4 transactions
	<b>Security total:</b>	<b>703.97</b>		<b>479.20</b>	...	<b>224.77</b>	
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
01/29/21	44.000	514.07	01/06/21	475.20	...	38.87	Sale <sup>25</sup>
BELLUS HEALTH INC. COMMON SHAR ES / CUSIP: 07987C204 / Symbol:							
04/09/21	100.000	435.49	11/11/20	245.82	...	189.67	Sale <sup>25</sup>

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(continued)

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BIOLASE, INC. COMMON STOCK / CUSIP: 090911207 / Symbol:							
3 transactions for 01/26/21. Total proceeds and cost reported to the IRS.							
	9.000	10.76	01/12/21	6.55	...	4.21	1 of 3 - Sale <sup>25</sup>
	91.000	108.74	01/12/21	66.22	...	42.52	2 of 3 - Sale <sup>25</sup>
	400.000	476.39	01/12/21	291.08	...	185.31	3 of 3 - Sale <sup>25</sup>
01/26/21	500.000	595.89	Various	363.85	...	232.04	Total of 3 transactions
BRICKELL BIOTECH, INC. COMMON STOCK / CUSIP: 10802T105 / Symbol:							
2 transactions for 03/18/21. Total proceeds and cost reported to the IRS.							
	11.000	13.53	01/06/21	10.64	...	2.89	1 of 2 - Sale <sup>25</sup>
	199.000	245.45	01/06/21	192.41	...	53.04	2 of 2 - Sale <sup>25</sup>
03/18/21	210.000	258.98	Various	203.05	...	55.93	Total of 2 transactions
CHURCHILL CAPITAL CORP IV / CUSIP: 171439102 / Symbol:							
02/19/21	18.000	1,074.75	01/22/21	374.76	...	699.99	Sale <sup>25</sup>
CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol:							
2 transactions for 03/24/21. Total proceeds and cost reported to the IRS.							
	13.000	25.16	02/08/21	24.29	...	0.87	1 of 2 - Sale <sup>25</sup>
	237.000	457.69	02/08/21	442.74	...	14.95	2 of 2 - Sale <sup>25</sup>
03/24/21	250.000	482.85	Various	467.03	...	15.82	Total of 2 transactions
2 transactions for 08/31/21. Total proceeds and cost reported to the IRS.							
	15.000	28.84	03/25/21	28.80	...	0.04	1 of 2 - Sale <sup>25</sup>
	285.000	547.98	03/25/21	546.83	...	1.15	2 of 2 - Sale <sup>25</sup>
08/31/21	300.000	576.82	Various	575.63	...	1.19	Total of 2 transactions
	<b>Security total:</b>	<b>1,059.67</b>		<b>1,042.66</b>	...	<b>17.01</b>	
CITIUS PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 17322U207 / Symbol:							
2 transactions for 03/23/21. Total proceeds and cost reported to the IRS.							
	220.000	435.57	02/19/21	435.60	...	-0.03	1 of 2 - Sale <sup>25</sup>
	30.000	59.40	02/19/21	56.64	...	2.76	2 of 2 - Sale <sup>25</sup>
03/23/21	250.000	494.97	Various	492.24	...	2.73	Total of 2 transactions
DXC TECHNOLOGY COMPANY / CUSIP: 23355L106 / Symbol:							
03/05/21	50.000	1,319.99	09/24/20	797.43	...	522.56	Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

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GAMESTOP CORP. CLASS A / CUSIP: 36467W109 / Symbol:							
01/26/21	2.000	297.70	01/26/21	203.02	...	94.68	Sale <sup>25</sup>
GEVO, INC. COMMON STOCK / CUSIP: 374396406 / Symbol:							
<i>2 transactions for 02/09/21. Total proceeds and cost reported to the IRS.</i>							
	31.000	438.99	12/03/20	56.39	...	382.60	1 of 2 - Sale <sup>25</sup>
	3.000	42.49	12/07/20	5.28	...	37.21	2 of 2 - Sale <sup>25</sup>
02/09/21	34.000	481.48	Various	61.67	...	419.81	Total of 2 transactions
HALL OF FAME RESORT & ENTERTAINMENT COMPANY COMMON STOCK / CUSIP: 40619L102 / Symbol:							
02/17/21	220.000	623.65	02/16/21	605.00	...	18.65	Sale <sup>25</sup>
HEXO CORP. COMMON SHARES / CUSIP: 428304307 / Symbol:							
04/09/21	125.000	798.97	12/04/20	539.25	...	259.72	Sale <sup>25</sup>
HIGHCAPE CAPITAL ACQUISITION CORP. CLASS A COMMON STOCK / CUSIP: 42984L105 / Symbol:							
02/19/21	2.000	41.62	02/18/21	43.28	...	-1.66	Sale <sup>25</sup>
INTERNATIONAL CONSOLIDATED AIR LINES GROUP SA SPONSORED AMERICAN DEPOSITORY RECEIPT (SPAIN) / CUSIP: 459348108 / Symbol:							
<i>3 transactions for 04/09/21. Total proceeds and cost reported to the IRS.</i>							
	100.000	584.98	09/24/20	444.00	...	140.98	1 of 3 - Sale <sup>25</sup>
	45.000	263.24	10/09/20	125.55	...	137.69	2 of 3 - Sale <sup>25</sup>
	23.000	134.55	10/21/20	62.79	...	71.76	3 of 3 - Sale <sup>25</sup>
04/09/21	168.000	982.77	Various	632.34	...	350.43	Total of 3 transactions
KINTARA THERAPEUTICS, INC. COMMON STOCK / CUSIP: 49720K101 / Symbol:							
02/17/21	220.000	550.35	02/09/21	519.20	...	31.15	Sale <sup>25</sup>
THE MACERICH COMPANY / CUSIP: 554382101 / Symbol:							
03/15/21	0.147	2.05	02/01/21	2.05	...	0.00	Sale <sup>25</sup>
MECHEL PAO AMERICAN DEPOSITORY SHARES (EACH REPRESENTING ONE -HALF OF A PREFERRED SHARE) / CUSIP: 583840509 / Symbol:							
08/18/21	50.000	47.01	05/21/21	43.50	...	3.51	Sale <sup>25</sup>
NOKIA CORPORATION / CUSIP: 654902204 / Symbol:							
05/03/21	250.000	1,217.46	02/03/21	1,155.00	...	62.46	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 880952197

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NORTHERN DYNASTY MINERALS, LTD . / CUSIP: 66510M204 / Symbol:							
3 transactions for 09/17/21. Total proceeds and cost reported to the IRS.							
	685.000	338.45	11/30/20	253.04	...	85.41	1 of 3 - Sale <sup>25</sup>
	80.000	39.52	12/08/20	28.09	...	11.43	2 of 3 - Sale <sup>25</sup>
	5.000	2.47	12/28/20	1.74	...	0.73	3 of 3 - Sale <sup>25</sup>
09/17/21	770.000	380.44	Various	282.87	...	97.57	Total of 3 transactions
PALANTIR TECHNOLOGIES INC. CLA SS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
09/17/21	35.000	999.96	02/19/21	968.98	...	30.98	Sale <sup>25</sup>
PFIZER INC. / CUSIP: 717081103 / Symbol:							
5 transactions for 10/01/21. Total proceeds and cost reported to the IRS.							
	0.329	14.13	12/03/20	13.34	...	0.79	1 of 5 - Sale <sup>25</sup>
	10.671	457.70	12/03/20	432.05	...	25.65	2 of 5 - Sale <sup>25</sup>
	0.125	5.34	03/08/21	4.29	...	1.05	3 of 5 - Sale <sup>25</sup>
	0.111	4.76	06/07/21	4.34	...	0.42	4 of 5 - Sale <sup>25</sup>
	0.094	4.03	09/08/21	4.38	...	-0.35	5 of 5 - Sale <sup>25</sup>
10/01/21	11.329	485.96	Various	458.40	...	27.56	Total of 5 transactions
POLARITYTE, INC. COMMON STOCK / CUSIP: 731094108 / Symbol:							
02/11/21	485.000	931.60	01/08/21	489.61	...	441.99	Sale <sup>25</sup>
PREDICTIVE ONCOLOGY INC. COMMON STOCK / CUSIP: 74039M200 / Symbol:							
05/24/21	280.000	311.30	05/05/21	299.43	...	11.87	Sale <sup>25</sup>
ROLLS ROYCE HOLDINGS PLC SPONS ORED AMERICAN DEPOSITARY SHARE S / CUSIP: 775781206 / Symbol:							
3 transactions for 09/27/21. Total proceeds and cost reported to the IRS.							
	150.000	296.98	12/10/20	264.00	...	32.98	1 of 3 - Sale <sup>25</sup>
	15.000	29.70	01/13/21	22.50	...	7.20	2 of 3 - Sale <sup>25</sup>
	100.000	197.98	02/01/21	137.00	...	60.98	3 of 3 - Sale <sup>25</sup>
09/27/21	265.000	524.66	Various	423.50	...	101.16	Total of 3 transactions
SKILLZ INC. / CUSIP: 83067L109 / Symbol:							
24 transactions for 04/22/21. Total proceeds and cost reported to the IRS.							
	50.000	969.99	03/26/21	937.25	...	32.74	1 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	14.19	...	5.21	2 of 24 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 880952197

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 &amp; 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

## 1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
SKILLZ INC. / CUSIP: 83067L109 / Symbol: (cont'd)							
	1.000	19.40	04/21/21	14.19	...	5.21	3 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	14.19	...	5.21	4 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	14.19	...	5.21	5 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	14.19	...	5.21	6 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	14.19	...	5.21	7 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	14.19	...	5.21	8 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	14.19	...	5.21	9 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	12.89	...	6.51	10 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	12.89	...	6.51	11 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	12.89	...	6.51	12 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	12.89	...	6.51	13 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	12.89	...	6.51	14 of 24 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	12.89	...	6.51	15 of 24 - Sale <sup>25</sup>
	3.000	58.20	04/21/21	38.67	...	19.53	16 of 24 - Sale <sup>25</sup>
	4.000	77.60	04/21/21	56.75	...	20.85	17 of 24 - Sale <sup>25</sup>
	4.000	77.60	04/21/21	51.56	...	26.04	18 of 24 - Sale <sup>25</sup>
	5.000	97.00	04/21/21	64.45	...	32.55	19 of 24 - Sale <sup>25</sup>
	5.000	97.00	04/21/21	64.45	...	32.55	20 of 24 - Sale <sup>25</sup>
	15.000	291.00	04/21/21	194.53	...	96.47	21 of 24 - Sale <sup>25</sup>
	15.000	291.00	04/21/21	193.36	...	97.64	22 of 24 - Sale <sup>25</sup>
	23.000	446.19	04/21/21	326.37	...	119.82	23 of 24 - Sale <sup>25</sup>
	27.000	523.79	04/21/21	348.03	...	175.76	24 of 24 - Sale <sup>25</sup>
04/22/21	165.000	3,200.97	Various	2,466.28	...	734.69	Total of 24 transactions
	7 transactions for 04/22/21. Total proceeds and cost reported to the IRS.						
	35.000	678.99	03/18/21	949.55	270.56 W	0.00	1 of 7 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	20.62	1.22 W	0.00	2 of 7 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	20.62	1.22 W	0.00	3 of 7 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	20.62	1.22 W	0.00	4 of 7 - Sale <sup>25</sup>
	6.000	116.40	04/21/21	123.72	7.32 W	0.00	5 of 7 - Sale <sup>25</sup>
	1.000	19.40	04/21/21	20.62	1.22 W	0.00	6 of 7 - Sale <sup>25</sup>
	25.000	484.99	04/21/21	515.51	30.52 W	0.00	7 of 7 - Sale <sup>25</sup>
04/22/21	70.000	1,357.98	Various	1,671.26	313.28 W	0.00	Total of 7 transactions
	<b>Security total:</b>	<b>4,558.95</b>		<b>4,137.54</b>	<b>313.28 W</b>	<b>734.69</b>	

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Robinhood Securities LLC

Account 880952197

**Proceeds from Broker and Barter Exchange Transactions**

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SUN COUNTRY AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 866683105 / Symbol:							
03/17/21	30.000	1,088.99	03/17/21	1,048.80	...	40.19	Sale <sup>25</sup>
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
02/11/21	250.000	857.73	01/06/21	162.26	...	695.47	Sale <sup>25</sup>
08/31/21	200.000	157.78	01/06/21	129.81	...	27.97	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,015.51</b>		<b>292.07</b>	...	<b>723.44</b>	
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
<i>5 transactions for 08/31/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	737.23	02/18/21	784.39	...	-47.16	1 of 5 - Sale <sup>25</sup>
	1.000	737.23	03/05/21	557.63	...	179.60	2 of 5 - Sale <sup>25</sup>
	2.000	1,474.47	03/05/21	1,180.36	...	294.11	3 of 5 - Sale <sup>25</sup>
	1.000	737.23	03/29/21	601.47	...	135.76	4 of 5 - Sale <sup>25</sup>
	2.000	1,474.47	05/13/21	1,146.76	...	327.71	5 of 5 - Sale <sup>25</sup>
08/31/21	7.000	5,160.63	Various	4,270.61	...	890.02	Total of 5 transactions
TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol:							
<i>7 transactions for 01/22/21. Total proceeds and cost reported to the IRS.</i>							
	100.000	102.99	12/28/20	67.97	...	35.02	1 of 7 - Sale <sup>25</sup>
	100.000	102.99	12/28/20	67.97	...	35.02	2 of 7 - Sale <sup>25</sup>
	100.000	102.99	12/28/20	67.97	...	35.02	3 of 7 - Sale <sup>25</sup>
	100.000	103.00	12/28/20	67.97	...	35.03	4 of 7 - Sale <sup>25</sup>
	100.000	103.00	12/28/20	67.97	...	35.03	5 of 7 - Sale <sup>25</sup>
	100.000	103.00	12/28/20	67.97	...	35.03	6 of 7 - Sale <sup>25</sup>
	100.000	103.00	12/28/20	67.97	...	35.03	7 of 7 - Sale <sup>25</sup>
01/22/21	700.000	720.97	Various	475.79	...	245.18	Total of 7 transactions
TYME TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 90238J103 / Symbol:							
<i>2 transactions for 02/03/21. Total proceeds and cost reported to the IRS.</i>							
	100.000	291.09	01/12/21	232.97	...	58.12	1 of 2 - Sale <sup>25</sup>
	100.000	291.99	01/12/21	232.97	...	59.02	2 of 2 - Sale <sup>25</sup>
02/03/21	200.000	583.08	Various	465.94	...	117.14	Total of 2 transactions
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
03/15/21	9.000	527.59	05/13/20	185.84	...	341.75	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 880952197

**Proceeds from Broker and Barter Exchange Transactions**

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

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**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
VIANT TECHNOLOGY INC. CLASS A COMMON STOCK / CUSIP: 92557A101 / Symbol:							
02/10/21	10.000	450.54	02/10/21	450.00	...	0.54	Sale <sup>25</sup>
ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol:							
01/11/21	1,000.000	906.85	01/04/21	259.00	...	647.85	Sale <sup>25</sup>
ZYNGA INC. CLASS A COMMON STOC K / CUSIP: 98986T108 / Symbol:							
06/28/21	100.000	1,080.21	02/01/21	1,005.77	...	74.44	Sale <sup>25</sup>
LUOKUNG TECHNOLOGY CORP ORDINA RY SHARES / CUSIP: G56981106 / Symbol:							
02/16/21	300.000	953.96	02/16/21	831.00	...	122.96	Sale <sup>25</sup>
NORDIC AMERICAN TANKER / CUSIP: G65773106 / Symbol:							
03/11/21	150.000	520.47	02/01/21	467.72	...	52.75	Sale <sup>25</sup>
MEIWU TECHNOLOGY COMPANY LIMIT ED ORDINARY SHARES / CUSIP: G9604C107 / Symbol:							
02/12/21	25.000	737.48	02/12/21	593.75	...	143.73	Sale <sup>25</sup>
CHECK-CAP LTD. ORDINARY SHARE / CUSIP: M2361E203 / Symbol:							
01/05/21	250.000	661.20	01/04/21	198.43	...	462.77	Sale <sup>25</sup>
NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
01/28/21	350.000	1,154.93	12/01/20	71.75	...	1,083.18	Sale <sup>25</sup>
CASTOR MARITIME INC. COMMON SH ARES / CUSIP: Y1146L109 / Symbol:							
<i>5 transactions for 01/29/21. Total proceeds and cost reported to the IRS.</i>							
	100.000	63.54	01/05/21	21.81	...	41.73	1 of 5 - Sale <sup>25</sup>
	140.000	88.94	01/05/21	30.53	...	58.41	2 of 5 - Sale <sup>25</sup>
	760.000	482.57	01/05/21	165.74	...	316.83	3 of 5 - Sale <sup>25</sup>
	100.000	63.50	01/08/21	18.18	...	45.32	4 of 5 - Sale <sup>25</sup>
	100.000	63.50	01/08/21	18.18	...	45.32	5 of 5 - Sale <sup>25</sup>
01/29/21	1,200.000	762.05	Various	254.44	...	507.61	Total of 5 transactions
<b>Totals :</b>		<b>66,664.66</b>		<b>52,437.45</b>	<b>894.34 W</b>	<b>15,121.55</b>	

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Robinhood Securities LLC

Account 880952197

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**LONG TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part II with Box D checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

<b>1c- Date sold or disposed</b>	<b>Quantity</b>	<b>1d- Proceeds &amp; 6- Reported (G)ross or (N)et</b>	<b>1b- Date acquired</b>	<b>1e- Cost or other basis</b>	<b>1f- Accrued mkt disc (D) &amp; 1g- Wash sale loss disallowed (W)</b>	<b>7- Loss not allowed (X) also not reported (Z)</b>	<b>Gain or loss(-) &amp; Additional information</b>
LIGHTBRIDGE CORPORATION COMMON STOCK / CUSIP: 53224K302 / Symbol:							
<i>5 transactions for 11/01/21. Total proceeds and cost reported to the IRS.</i>							
	80.000	841.99	09/25/20	360.59	...	481.40	1 of 5 - Sale <sup>25</sup>
	25.000	263.12	09/29/20	103.76	...	159.36	2 of 5 - Sale <sup>25</sup>
	30.000	330.92	10/02/20	118.97	...	211.95	3 of 5 - Sale <sup>25</sup>
	100.000	1,052.48	10/02/20	396.55	...	655.93	4 of 5 - Sale <sup>25</sup>
	175.000	1,930.40	10/09/20	532.77	...	1,397.63	5 of 5 - Sale <sup>25</sup>
11/01/21	410.000	4,418.91	Various	1,512.64	...	2,906.27	Total of 5 transactions
<b>Totals :</b>		<b>4,418.91</b>		<b>1,512.64</b>		<b>2,906.27</b>	

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Robinhood Securities LLC

Account 880952197

**Proceeds Not Reported to the IRS**

2021

02/11/2022

This section of your tax information statement provides proceeds transactions that are not reported to the IRS, but may have a tax impact. They are grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued Market Discount and Wash Sale Loss Disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used.

Some tax lots may have notations in the column of additional information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, sales of collectibles, noted as "3 - Proceeds from Collectibles [X]" are handled distinctly under the tax code. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios. With further regard to Box 3, there is also a checkmark to indicate the proceeds of sale are from a Qualified Opportunity Zone Fund investment - a QOF. If the proceeds are from a QOF the Additional Information column will reflect the following - "3 - [X] Proceeds from QOF." The tax treatment for QOF investments can be complex and you may wish to consult your tax advisor about such sales.

**SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]**

Report on Form 8949, Part I, with Box C checked.

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ACASTI PHARMA, INC. CLASS A COMMON STOCK / CUSIP: 00430K873 / Symbol: 09/07/21	0.500	1.40	02/11/21	4.56	...	-3.16	Gain or loss
<b>Totals:</b>		<b>1.40</b>		<b>4.56</b>	...	<b>-3.16</b>	

Robinhood Securities LLC

Account 880952197

## Detail for Dividends and Distributions

2021

02/11/2022

This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, Section 199A dividends, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.

Federal, state and foreign tax withheld and investment expenses are presented as negative amounts but do not net against the reportable income totals. All amounts are grouped by security, with the transactions listed in chronological order. Subtotals for each security are provided. For situations in which the tax character of a distribution (or part thereof) is different than at the time it was paid, endnotes are provided for further explanation.

Note that a payment characterized as a "Qualified dividend" is only issuer-qualified. There is also a holder level criteria for a dividend to be treated as Qualified. If the payment is from a common stock you are required to have held it for more than 60 days during the 121-day period that begins 60 days before the ex-dividend date of the dividend. If the dividend is from preferred shares and covers a period greater than 366 days, you must have held the preferred stock for more than 90 days during the 181-day period that begins 90 days before the ex-dividend date of the dividend.

Amounts presented in Box 2e as Section 897 Ordinary Dividends or Box 2f as Section 897 Capital Gains apply only to foreign persons and entities whose income maintains its character when passed through or distributed to its direct or indirect foreign owners or beneficiaries. If you are a US citizen, you should disregard this.

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
INVESCO MORTGAGE CAPITAL INC.	46131B100		04/27/21	9.00	Nondividend distribution	03
			07/27/21	9.21	Nondividend distribution	03
			10/26/21	9.45	Nondividend distribution	03
				<b>27.66</b>	<b>Total Dividends &amp; distributions</b>	
THE MACERICH COMPANY	554382101		03/03/21	11.40	Nondividend distribution	03
			03/03/21	4.11	Unrecaptured section 1250 gain	03
			03/03/21	0.99	Section 199A dividend	03
	<b>16.50</b>	<b>Total Dividends &amp; distributions</b>				
MECHEL PAO AMERICAN DEPOSITARY SHARES (EACH REPRESENTING ONE -HALF OF A PREFERRED SHARE)	583840509		08/06/21	0.40	Nonqualified dividend	
			08/06/21	-0.06	Foreign tax withheld-RS	
				<b>0.40</b>	<b>Total Dividends &amp; distributions</b>	
	<b>-0.06</b>	<b>Total Foreign tax withheld</b>				
PFIZER INC.	717081103		03/05/21	4.29	Qualified dividend	
			06/04/21	4.34	Qualified dividend	
			09/07/21	4.38	Qualified dividend	
	<b>13.01</b>	<b>Total Dividends &amp; distributions</b>				
NORDIC AMERICAN TANKER	G65773106		03/31/21	3.00	Nonqualified dividend	
				<b>60.57</b>	<b>Total Dividends &amp; distributions</b>	
				<b>-0.06</b>	<b>Total Foreign tax withheld</b>	

Robinhood Securities LLC

Account 880952197

**Fees and Expenses**

2021

02/11/2022

*This section of your tax information statement may contain the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper tax treatment.*

*These amounts are provided here to facilitate an accounting of all amounts received during the year and are totaled in the Reconciliations, Fees, Expenses and Expenditures found in the Summary Information at the beginning of the statement.*

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		02/26/21	-5.00	Margin interest paid	
			<b>-5.00</b>	<b>Total Margin interest paid</b>	

Robinhood Securities LLC

Account 880952197

## Foreign Income and Taxes Summary

2021

02/11/2022

This schedule lists all income and foreign tax by country. Mutual Funds and Unit Investment Trusts (UITs) structured as Regulated Investment Companies (RICs) are listed separately with a country designation of "RIC."

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
BD	NORDIC AMERICAN TANKER	G65773106	3.00	0.00	0.00	3.00	0.00	
<b>Total BERMUDA</b>			<b>3.00</b>	<b>0.00</b>	<b>0.00</b>	<b>3.00</b>	<b>0.00</b>	
RS	MECHEL PAO AMERICAN DEPOSITARY SHARES (EACH REPRESENTING ONE -HALF OF A PREFERRED SHARE)	583840509	0.40	0.00	0.00	0.40	-0.06	
<b>Total RUSSIA</b>			<b>0.40</b>	<b>0.00</b>	<b>0.00</b>	<b>0.40</b>	<b>-0.06</b>	
<b>Grand Total</b>	<b>Total Foreign Source Income*</b>			<b>3.40</b>				
	<b>Qualified Foreign Source Income**</b>			<b>0.00</b>				
	<b>Foreign Tax</b>				<b>-0.06</b>			

\* Total Foreign Source Income utilizes the "Total" column for RICs which may not always be supplied.

\*\* Qualified Foreign Source Income utilizes the "Qualified" column for RICs which may not always be supplied.

Robinhood Securities LLC

Account 880952197

## Non-Reportable Actions

2021

02/11/2022

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
ASTRA SPACE, INC. CLASS A COMM ON STOCK	04634X103	07/01/21	25.00	0.00	Exchange	
CLIMATE CHANGE CRISIS REAL IMP ACT I ACQUISITION CORPORATION	18716C100	07/02/21	-40.00	0.00	Exchange	
EVGO INC. CLASS A COMMON STOCK	30052F100	07/02/21	40.00	0.00	Exchange	
FARADAY FUTURE INTELLIGENT ELE CTIC INC. COMMON STOCK	307359109	07/22/21	120.00	0.00	Exchange	
HOLICITY INC. CLASS A COMMON S TOCK	435063102	07/01/21	-25.00	0.00	Exchange	
PROPERTY SOLUTIONS ACQUISITION CORP. COMMON STOCK	74348Q108	07/22/21	-120.00	0.00	Exchange	
PROTERRA INC. COMMON STOCK	74374T109	06/15/21	37.00	0.00	Exchange	
ARCLIGHT CLEAN TRANSITION CORP . CLASS A ORDINARY SHARES	G04561109	06/15/21	-37.00	0.00	Exchange	
QELL ACQUISITION CORP. CLASS A ORDINARY SHARES	G7307X105	09/15/21	-33.00	0.00	Exchange	
IBM 01/21/2022 CALL \$135.00	IBM 01/21/22 C 135.000	11/04/21	-1.00	0.00	Merger	
IBM1 01/21/2022 CALL \$135.00	IBM1 01/21/22 C 135.000	11/04/21	1.00	0.00	Merger	
LILIUM N.V. CLASS A ORDINARY S HARES	N52586109	09/15/21	33.00	0.00	Exchange	

03 The tax character of the distribution has been allocated based on information provided by the security issuer.

25 Tax lot closed on a first in first out basis.

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### Instructions for Recipient

#### Common Instructions for Recipient

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**Backup Withholding.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

**Nominees.** If this 1099 form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or ORD) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the General Instructions for Certain Information Returns.

**FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938.

#### Keep tax documents for your records.

#### 1099-DIV Instructions for Recipient

**Line 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also report it on Schedule B (Form 1040), if required.

**Line 1b.** Shows the portion of the amount in Line 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report.

The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Line 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040). But, if no amount is shown in Lines 2b, 2c, 2d, and 2f and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in Line 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

**Line 2b.** Shows the portion of the amount in Line 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040).

**Line 2c.** Shows the portion of the amount in Line 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040) instructions.

**Line 2d.** Shows the portion of the amount in Line 2a that is 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040).

**Line 2e.** Shows the portion of the amount in Line 1a that is section 897 gain attributable to disposition of U.S. real property interests (USRPI).

**Line 2f.** Shows the portion of the amount in Line 2a that is section 897 gain attributable to disposition of USRPI.

Note: Lines 2e and 2f apply only to foreign persons and entities whose income maintains its character when passed through or distributed to its direct or indirect foreign owners or beneficiaries. It is generally treated as effectively connected to a trade or business within the United States. See the instructions for your tax return.

**Line 3.** Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

**Line 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Line 5.** Shows the portion of the amount in Line 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A.

**Line 6.** Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in Line 1a.

**Line 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 and 1040SR.

**Line 8.** This Line should be left blank if a RIC reported the foreign tax shown in Line 7.

**Lines 9 and 10.** Show cash and noncash liquidation distributions.

**Line 11.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Forms 1040 and 1040SR for where to report. This amount may be subject to backup withholding. See Line 4 above.

**Line 12.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in Line 11. See the Instructions for Form 6251.

**Lines 13-15.** State income tax withheld reporting Lines.

**Future developments.** For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099DIV](http://www.irs.gov/Form1099DIV).

**Free File.** Go to [www.irs.gov/FreeFile](http://www.irs.gov/FreeFile) to see if you qualify for no-cost online federal tax preparation, e-filing, and direct deposit or payment options.

#### 1099-B Instructions for Recipient

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**CUSIP number.** Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

**Line 1a.** Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown. For Section 1256 option contracts, "Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

**Line 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Line 1c.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

**Line 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Line 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, the Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

**Line 1f.** Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

**Line 1g.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

**Line 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to

special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

**Line 3.** If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund (QOF).

**Line 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Line 5.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

**Line 6.** If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

**Line 7.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

**Line 12.** If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

**Line 13.** Shows the cash you received, the fair market value of any property or services you received, and the fair market value of any trade credits or scrip credited to your account by a barter exchange. See Pub. 525.

**Lines 14-16.** Show state(s)/local income tax information.

**Future developments.** For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099B](http://www.irs.gov/Form1099B).

**Free File.** Go to [www.irs.gov/FreeFile](http://www.irs.gov/FreeFile) to see if you qualify for no-cost online federal tax preparation, e-filing, and direct deposit or payment options.

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